

# King County Board of Ethics 2006 Annual Report

January 1, 2006, through December 31, 2006

## ***Members***

Roland H. Carlson  
Margaret T. Gordon, Ph.D.  
Lois Price Spratlen, Ph.D., Chair  
Rev. Paul F. Pruitt  
Jerry Saltzman

## ***Executive Director***

Catherine A. Clemens

## ***Board Counsel***

Alan Abrams

## ***King County Executive***

Ron Sims

## ***Department of Executive Services***

Paul Tanaka, County Administrative Officer



## **King County**

Board of Ethics

Columbia Center  
BOA-ES-3460  
701 Fifth Avenue, Suite 3460  
Seattle, WA 98104

206-296-1586  
Fax 206-205-0725  
TTY Relay: 711

[board.ethics@metrokc.gov](mailto:board.ethics@metrokc.gov)  
[www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/)

King County Graphic Design and Production Services  
Sue McCauley, Graphic Designer 60755sm6.indd

Alternate Formats Available



## Table of Contents

<b>Message from the Board . . . . .</b>	<b>4</b>
<b>Report Summary . . . . .</b>	<b>5</b>
<b>The King County Board of Ethics. . . . .</b>	<b>6</b>
<b>Board of Ethics Members . . . . .</b>	<b>8</b>
<b>Board Members and Staff 1983 – 2006 . . . . .</b>	<b>12</b>
<b>Staff and Budget . . . . .</b>	<b>13</b>
<b>Education and Training . . . . .</b>	<b>14</b>
<b>Review of the Code of Ethics . . . . .</b>	<b>18</b>
<b>Advice and Guidance . . . . .</b>	<b>18</b>
<b>Disclosure Programs. . . . .</b>	<b>20</b>
<b>Collaboration with Other Ethics Agencies . . . . .</b>	<b>21</b>

## Message from the Board



### King County Board of Ethics

March 2007

King County Executive Ron Sims  
Metropolitan King County Council Chair Larry Gossett  
Members of the Metropolitan King County Council  
Separately Elected Officials

On behalf of the King County Board of Ethics I would like to share with you a few of the highlights of 2006. We are a volunteer citizen board dedicated to increasing awareness of and adherence to high ethical standards by employees, elected and appointed officials and others involved in providing services through or on behalf of King County.

During 2006 we continued to use a preventive framework to design and implement ethics programs and services in King County. We were successful in communicating with and extending our relationships with other jurisdictions in the State of Washington. We have laid the foundation for achieving even more successes in 2007.

Education is the cornerstone of prevention. Ethics education has continued to be provided to elected and appointed officials, county employees, members of boards and commissions as well as contractors and others involved in King County government. Catherine Clemens, executive director, has developed ethics programs and services that are offered on a continuous and rotating basis to all employees in county government. Educational materials are available in paper and electronic media. The annual ethics quiz is used by a high percentage of employees and others who desire to test their ethics skills and knowledge. A proportion of these employees use their knowledge in delivering services to the public. Education and training are provided to employees and volunteers in King County government in ways that enhance employees' effectiveness in serving residents of the county. We expect that this will lead to an increase in the public's trust and confidence in King County government.

The financial disclosure and consultant disclosure programs are designed specifically to prevent and disclose actual or potential conflicts of interest by county employees. Along with all programs and services offered as part of the county's ethics programs, these have been translated into outcomes that have enabled us to reach and complete all goals.

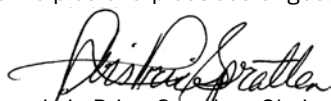
A highlight of this year's accomplishments and one that gives direction to our outreach throughout the state is the development and signing of a Bilateral Statement of Ethical Principles between the King County Board of Ethics and the Seattle Ethics and Elections Commission (SEEC). The statement was developed through the leadership and collaboration of former dean Margo Gordon (Evans School, University of Washington) and Mr. Wayne Barnett of the SEEC. All members of the board and the SEEC along with the respective administrators contributed to achieving this milestone.

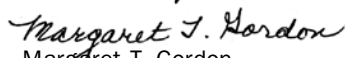
Special attention is directed to the collaborative relationships that have been established between King County Executive Ron Sims, President Mark Emmert and Provost Phyllis Wise of the University of Washington. They approved committing resources that were used to gain acceptance of the bilateral agreement and expand the effort to jurisdictions beyond Seattle and King County. Administratively, this effort has been supported by Dean Sandra Archibald of the Evans School of Public Affairs. Her support is continuing so that it will be possible to expand our efforts to other jurisdictions during 2007.


On December 15, 2006, there was an official signing ceremony at which the Bilateral Statement of Ethical Principles was formally announced and publicly signed. This was a first for the state and it is guiding our efforts to include other jurisdictions in the State of Washington. We expect this to serve as a model for the nation in promoting and adopting ethical principles as a guide to good government and as a means to enhance the public's trust in government.

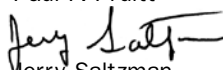
We are proud to be able to report to you about our current accomplishments and our continuing efforts to promote ethics in the principles and practices of good government.

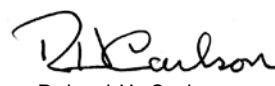
Sincerely,

  
Lois Price Spratten, Chair

  
Margaret T. Gordon

  
Paul F. Pruitt

  
Jerry Saltzman

  
Roland H. Carlson

# Report Summary

Serving King County Since 1972

## Achievements

- Provided training to over 2,140 employees or 16% of all county employees.
- Produced Ethics Help Line card post-it notes for all county employees; refreshed existing ethics posters for longer life; distributed posters to more worksites; and conducted the third annual, on-line ethics quiz and survey.
- Achieved 99.8% financial disclosure filing compliance for employees and elected officials, and 98.4% compliance for board and commission members by the April 15th deadline.
- Established the Ethics Partners, a select group of human resources managers, to foster communication and collaboration between the ethics office and county departments.
- Co-hosted the 2006 Washington State Ethics Conference along with five other ethics jurisdictions.

## Board Activities and Outreach

- Held a signing ceremony to celebrate and commemorate the Statement of Principles between King County Board of Ethics and the Seattle Ethics and Elections Commission.
- Conducted eight public meetings and members maintained an 85% attendance record.
- Met once with the executive and three times with the County Council in informal sessions to discuss ethics-related issues within King County government.

## Goals and Performance Measures

- **Goal I: Educate County Employees.** Over 2,140 county employees received ethics education in 2006, with an emphasis placed on reaching new employees (63%) and supervisors, including directors and their deputies (8%). In August, the board and staff continued the awareness campaign by refreshing all existing ethics posters for longer life by adding new eye-catching details and distributing additional posters to more county worksites; later, in September,

they produced ethics post-it notes in the likeness of the Ethics Help Line card and distributed them to all employees county-wide. Finally, in October, the office conducted the third annual, on-line ethics quiz and survey for county employees with access to computers in which 17% of 11,000 employees took part.

- **Goal II: Continue Systematic Review of the Ethics Code.** The board made no review of the ethics code in 2006.
- **Goal III: Provide Advice and Guidance.** The board issued no advisory opinions in 2006, but did address issues during board meetings brought to them by county employees under the provisions of the Code of Ethics, including a request for clarification of advisory opinion 1042 related to acceptance of honoraria and potential conflict of interest for an employee wishing to engage in outside employment with another county department.
- **Goal IV: Conduct the Financial Disclosure Program and Consultant Disclosure Program.** As of the April 15th filing deadline, 99.8% of the 2,432 affected officials and employees filed statements of financial and other interests as required under K.C.C. 3.04.050; 98.4% of the 432 county board and commission members had filed. Under the consultant disclosure program, approximately 252 contractors and vendors filed consultant disclosure forms with the ethics office as required by K.C.C. 3.04.120.
- **Goal V: Collaborate with Other Ethics Agencies.** In June, the ethics board and staff co-hosted the 2006 Washington State Ethics Conference along with five other ethics jurisdictions in the state. In December, the King County Board of Ethics and the City of Seattle's Ethics and Elections Commission continued their collaborative relationship by holding a signing ceremony celebrating and commemorating the Bilateral Statement of Principles.

# The King County Board of Ethics

## ***Mission***

**To ensure the highest standards of public service by developing, disseminating, and promoting readily understandable ethics requirements for King County employees and agencies.**

### ***Authority***

---

The King County Board of Ethics is authorized by King County Code 3.04, Employee Code of Ethics.

### ***The Board***

---

Created by ordinance in 1972, the Board of Ethics is a five-member citizen advisory, administrative, quasi-judicial board. Authorized by K.C.C. 3.04, the board may interpret the code through advisory opinions, and implement forms, processes, and procedures to ensure compliance with the ethics code. In addition to those responsibilities, the board oversees the administration of financial and consultant disclosure requirements, and increases awareness of ethics issues through an extensive education and training program. The board also hears appeals on findings by the Office of Citizen Complaints—Ombudsman. The board is assisted by the executive director and a half-time administrator, as well as legal counsel from the prosecuting attorney's office. The board and office serve more than 13,000 employees within the legislative and executive branches of county government and the general public.

Two members of the board are to be appointed by the King County Executive and two members are to be appointed by the executive based on nominations made by the King County Council. The fifth member, who serves as chair, is to be appointed by the executive based upon nominations from the other board members. In 2006, the board maintained a full complement of five members, all serving in current terms.

The board conducted eight public meetings in 2006 and members maintained an 85% attendance record. During the annual retreat held on January 17th, the board approved the 2005 annual report, the 2006 business plan, and adopted the 2006 mission and goals.

### ***2006 Goals***

---

- Goal I:** To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.
- Goal II:** To continue a systematic review of the Code of Ethics and make appropriate recommendations for consideration by the executive and County Council.
- Goal III:** To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.
- Goal IV:** To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.
- Goal V:** To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purpose of information exchange and to consider program improvements for the King County ethics program.

## The King County Board of Ethics (continued)

### **2006 Initiatives**

In addition to its primary functions, the board actively pursued new initiatives in 2006 as follows.

**Statement of Principles.** In January of 2003, the Board of Ethics began discussions about a statement of commonalities among ethics jurisdictions and the importance of articulating these shared values. The result was the Ethics, Public Service and the Public's Trust: A Bilateral Statement of Principles between King County Board of Ethics and the Seattle Ethics and Elections Commission. The purpose of the document is to outline the clear language of the common elements shared by the two codes of ethics in the belief that they reflect attitudes and a shared spirit among public employees that favor fair and honest decisions and actions. The two agencies also believe that an understanding of the commonalities will foster public trust and public perceptions that principled approaches prevail in our local governments.

On December 12th, the city and county held a signing ceremony to celebrate and commemorate this document. Speakers included chairs Lois Price Spratlen and Bruce Heller, City Council member Peter Steinbrueck, Attorney General Rob McKenna and University of Washington Evans School Dean Sandra Archibald. Other attendees included the SEEC Executive Director Wayne Barnett, King County Ombudsman Amy Calderwood and former county ethics chair and Evans School dean emeritus Hubert Locke. The city and county plan to expand participating jurisdictions throughout Washington state in 2007.

**Meeting with County Leadership.** In order to create cooperative working relationships with the legislative and executive branches of government, the board established meetings with the executive and County Council to discuss ethics-related issues within King County government. Meetings in 2006 were as follows:

<b><i>Date</i></b>	<b><i>Board Members</i></b>	<b><i>County Leadership</i></b>
<b>February 27</b>	<b>Dr. Price Spratlen; Mr. Saltzman</b>	<b>Executive Sims</b>
<b>March 22</b>	<b>Dr. Price Spratlen</b>	<b>Council Chair Phillips</b>
<b>April 10</b>	<b>Dr. Price Spratlen; Dr. Gordon</b>	<b>County Council</b>
<b>November 30</b>	<b>Dr. Price Spratlen</b>	<b>Councilmember Hague</b>

## Board of Ethics Members



### **Lois Price Spratlen, Ph.D., Chair** **1994 – present**

Lois is the University Ombudsman and Ombudsman for Sexual Harassment at the University of Washington, and a professor in the School of Nursing. She joined the UW faculty in Psychosocial Nursing in 1972 after receiving her MN degree from UCLA with specialization in community mental health nursing. Her BS in nursing is from Hampton University, Hampton, VA, and her Ph.D. in Urban Planning is from the University of Washington. She is formerly a board certified psychotherapist and holds the designation of Clinical Specialist. In 1999 Lois was inducted as a Fellow in the American Academy of Nursing.

Having served as Ombudsman for Sexual Harassment since 1982, Lois was appointed University Ombudsman in 1988. She is the first woman on the UW campus to occupy this latter role, which was established in 1969. An active leader within the California Caucus of College and University Ombuds, Lois was named Ombuds of the Year in 1998. She also founded and is co-editor of *The Journal*, the oldest peer-reviewed publication for ombuds scholarship.

Locally, Lois has served other boards, including Group Health Cooperative of Puget Sound and the Metropolitan Seattle Urban League. She is past president and active member of Mary Mahoney

Professional Nurses Organization, as well as the founder of its endowment, and past president of the Far West Region of the Hampton University Alumni Association. Lois is the author of *African American Registered Nurses in Seattle: the Struggle for Opportunity and Success*, and is currently working on a companion volume on African American Registered Nurses in Mississippi.

In 2005 Lois received the UW's Samuel E. Kelly Distinguished Alumni award for her life-time contributions to diversity. Her career community service contributions were recognized in 2006 with the receipt of the Martin Luther King, Jr. Award in the UW Health Sciences and her professional contributions were recognized by her induction into the Washington State Nurses Association Hall of Fame.

During her tenure as chair of the King County Board of Ethics, Lois has made prevention through education a primary focus, implementing an ethics education program designed to reach all employees, appointed and elected officials. She has promoted outreach to the County Executive and Council, and to other city, county and state ethics agencies. In 2004 Attorney General Rob McKenna asked Lois to serve on his transition team to focus on ethics-related matters.



## Board of Ethics Members



### **Roland H. Carlson** **1994 – present**

Roland (Ron) Carlson retired as an executive of the Boeing Company in 1994 after 34 years of service. His assignments included Defense and Space Division New Business Management and Product Line Planning, proposal management on missile system basing and management of the Boeing Southwestern Technical Office in Albuquerque, New Mexico.

Ron Carlson spent 5½ years as a Research and Development Officer in the U.S. Air Force. Key assignments included nuclear blast and shock experiments on structures at the Nevada Test Site. He is presently a retired Air Force Reserve officer.

His academic and professional affiliations include Tau Beta Pi, Sigma Xi, the Geophysical Union, American Society of Civil Engineers, Chi Epsilon (MSU charter member), Phi Kappa Phi, American Association for the Advancement of Science, Boeing Management Association, Air Force Association and the American Defense Preparedness Association.

Mr. Carlson's professional activities include Registered Professional Civil Engineer in New Mexico; National Academy of Science and Defense Science Board Committees on Nuclear Hardening; consultant to NASA for geophysical experiments on the last Apollo lunar flight; member of the President's Committee for the National Medal of Science for two three-year terms; and a term as 47th District Representative in the Washington State House of Representatives.

Additional activities include Imperials Board of Directors, King County Library Board of Directors, and many years of Boy Scout work including Chairing the Eagle Scout Committee.

Ron Carlson received his Bachelor of Science degree in Civil Engineering from Michigan State University. He received a Master of Science degree in Structural Engineering from the University of Illinois. He has authored numerous professional papers and journal articles.

## Board of Ethics Members



**Margaret T. Gordon, Ph.D.**  
**1999 – present**

Margaret (Margo) Gordon is Dean and Professor Emeritus of the Daniel J. Evans School of Public Affairs at the University of Washington.

She joined the UW faculty in 1988, and after nearly ten years of service as Dean elected to engage full time in teaching and research. She taught “News Media and Public Policy” and “Race, Ethnicity and Public Policy.” Her most recent research has been funded by the Ford Foundation (Quality Journalism in the 21st Century) and the Bill & Melinda Gates Foundation (Impacts of the Public Access Computing Project).

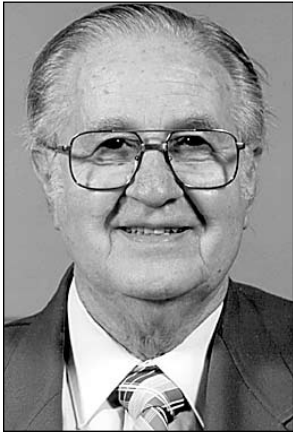
Professor Gordon retired in July, 2004, but is continuing to teach as an emeritus professor. Prof. Gordon also is currently serving as the vice president for North America for the International Association of Schools and Institutes of Administration. She formerly served on the Executive Council as the past president of the National Association of Schools of

Public Affairs and Administration and as a member of the National Governing Board of Common Cause, and locally she serves on the Advisory Board of KCTS, the Washington News Council and the Washington Women’s Forum.

Before coming to Seattle, Prof. Gordon was director of the Center for Urban Affairs and Policy Research and a faculty member at Northwestern University. She has also taught at the University of Illinois and the University of Nigeria.

She was named a charter member of the Hall of Achievement by her alma mater (Northwestern University); received an Exemplary Public Service Award in recognition of her dedication to diversity in higher education during her presidency of the Policy Board of the Public Policy and International Affairs Fellowship program; and librarians gave their CHOICE award for best book to her co-authored work *Female Fear: The Social Costs of Rape*.

## Board of Ethics Members



### **Rev. Paul F. Pruitt** **1992 – present**

Paul Pruitt was born in Nebraska in 1922. The Pruitt family moved to Idaho in the Great Depression, then on to Washington in the late 1930s.

Paul's high school was in Kirkland, college at the College of Puget Sound (now UPS) in the early forties. He attended and received his Bachelor of Divinity degree at Yale Divinity School, New Haven, Connecticut. There he met and married Yale School of Nursing student Mary Margaret Dunlap. They raised four children, now grown and establishing their own families.

Paul served churches of the United Church of Christ in Anacortes, Lowell, University Place, and the High Point Community Church and Christian Center in West Seattle. The Pruitts spent three and one-half years in missions with their church in the Philippines. For two years Paul was a vocational counselor at the Clover Park Vocational School. He served in the Washington State Legislature for the 34th District for eight years. He retired from a ministry at the Fauntleroy Church, United Church of Christ, in West Seattle in December of 1995.



### **Mr. Jerry Saltzman** **2003 – present**

Jerry Saltzman has been a psychotherapist in private practice for thirty years. As part of his practice, Jerry has conducted groups and workshops on removing personal and culturally imposed barriers to the development of open, workable human relationships.

Prior to becoming a psychotherapist, Jerry taught philosophy at UCLA and California State University, Northridge. His areas of specialization were ethics and political philosophy. Recently he taught similar courses at Cascadia Community College. Jerry now teaches courses in the graduate psychology and education programs at Antioch University.

Outside of his professional work, Jerry devotes considerable time advocating for economic and social justice. His past work with the African American/Jewish Coalition for Justice and his present work with Caucasians United for Reparations and Emancipation focuses on demonstrating how a thoughtful approach to the issue of reparations to descendants of enslaved Africans could be a profound step toward making our society a more principled one which is more responsive to human needs. This work is reflected in Jerry's contribution to an upcoming book entitled, *The Debtors: White America Responds to the Call for Black Reparations*.

## Board Members and Staff 1983 – 2006

### ***Board Members***

---

Judith Woods, Ph.D.  
1983 - 1992

Hubert Locke, Ph.D., Chair\*  
1984 - 1987

J. Patrick Dobel, Ph.D., Chair  
1987 - 1996

Timothy Edwards, Chair  
1989 - 1996

Rev. Paul F. Pruitt  
1992 - present

Lois Price Spratlen, Ph.D., Chair  
1994 - present

Roland H. Carlson, Acting Chair  
1994 - present

Lembhard G. Howell  
1996 - 2002

Judge Paul M. Feinsod  
1997 - 1999

Margaret T. Gordon, Ph.D.  
1999 – present

Jerry Saltzman  
2003 - present

### ***Staff***

---

Margaret A. Grimaldi, Administrator  
1992 – 1997

Catherine A. Clemens, Executive Director  
1997 – present

Viviane Diaz, Administrative Specialist  
2006 – present

\*“Chair” indicates the member served in that capacity during his or her tenure on the board.

Roster based on available information.

## Staff and Budget



**Catherine A. Clemens**  
**Executive Director**  
**1997 – present**

As executive director to the office of the Board of Ethics, Ms. Clemens provides staff support to the five-member board and is responsible for education and information on ethics-related issues to more than 13,000 employees. She conducts weekly ethics orientations for new employees; half-day, in-depth seminars for supervisors; issue-specific discussions for general staff; and occasional forums for employees with specialized responsibilities, including human resources personnel and contract managers.

Ms. Clemens manages all programs under the provisions of the Code of Ethics, including the annual disclosure of financial and other interests for

employees, elected officials, and board and commission members, as well as the consultant disclosure requirement for vendors, contractors, and consultants doing business with King County. In addition, she publishes advisory opinions, a Code of Ethics summary in plain language, the annual report, ethics-related brochures and ethics awareness materials, and maintains a comprehensive Web site: [www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/).

Ms. Clemens manages the Ethics Help Line and responds to all ethics-related inquiries from county employees and the general public; she provides written informational responses upon request.



**Viviane Diaz**  
**Administrative Specialist**  
**2006 – present**

Ms. Diaz joined the office of the King County Board of Ethics in March 2006. She coordinates the financial disclosure and consultant disclosure programs, assists in providing support to the Board of Ethics, prepares ethics publications, and provides information to inquiring employees and the general public.

### **Supporting Staff**

Susan Harrington served as the 2005 - 2006 financial disclosure coordinator.

Alan Abrams, Senior Deputy Prosecuting Attorney of the King County Prosecuting Attorney's Office, has served as legal counsel to the board since 2003.

### **Budget for Calendar Year 2006**

<b>Budget</b>	<b>\$176,886</b>
<b>Staff positions</b>	<b>1.5 FTE</b>

## Goal I — Education and Training

**To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.**

### Awareness Campaign

The ethics board and staff continued the awareness campaign by producing ethics post-it notes in the likeness of the Ethics Help Line card and distributing them to all county employees; refreshing all existing ethics posters for longer life and distributing additional posters to more county worksites; and executing the third annual, on-line quiz and survey for county employees. Ethics staff kept the ethics web site current and relevant since it is a significant informational and educational tool for all county employees as well as the general public.

### Ethics Survey/Quiz

In October, the executive director produced an on-line, interactive quiz and survey to determine the extent to which employees understand basic provisions of the Code of Ethics, and to become informed of employee opinions on ethics in the workplace. Executive Sims assisted in these efforts by announcing the quiz and survey via a countywide global email inviting participation via web link. All county employees having computer access were able to take part. The initial announcement was followed one week later by a reminder announcement in another employee global email. The survey remained open for completion for two weeks. Results of the quiz and survey revealed the following facts:

- Total distribution: 11,000
- Overall participation rate: 17%

- Employees responded correctly to each of the ten questions between 87% and 99% of the time.
- When asked if they believed management would take their ethics concerns seriously, 84% agreed strongly or agreed somewhat.
- When asked if they felt confident that they could report an unethical practice without fear of retaliation, 70% agreed strongly or agreed somewhat.
- When asked if they think that, overall, King County has an ethical work environment, 79% agreed strongly or agreed somewhat.

When asked to whom or where they would turn when they have an ethics issue to discuss, of the 1,400 employees who responded, they chose these places or people (listed in order of frequency):

- Supervisor – manager
- Ethics Help Line
- Board of Ethics
- Experts in specialized fields (e.g. human resources, prosecuting attorneys office, employee assistance program, contracts, civil rights, ombudsman)
- Ethics office and staff
- Publications (e.g. ethics brochures, county policies and guidelines)
- Ethics web site

When invited to offer advice to management to strengthen or reinforce the county's commitment to ethics, over 750

<b>Survey Question</b>	<b>Response %</b>	<b>Basis</b>
Ten ethics code based questions	<b>87% – 99%</b>	Correct answers
Ethics concerns taken seriously?	<b>84%</b>	Agree strongly or agree somewhat
Reporting without fear of retaliation?	<b>70%</b>	Agree strongly or agree somewhat
Ethical work environment overall?	<b>79%</b>	Agree strongly or agree somewhat



## Goal I — Education and Training (continued)

employees responded, and they offered this advice (listed in order of frequency):

- Continue to communicate on ethics issues and provide resources (flyers, blogs, pamphlets, quizzes, more quizzes, newsletters with ethics scenarios, FAQs, computer pop-ups, etc.)
- Hold regular ethics presentations and trainings – in formal classes and in staff meetings – for managers and staff
- Lead by example
- Hold everyone – elected officials, managers and staff – equally accountable
- Provide consistent communication on ethics values and expectations
- Listen openly to employee concerns and take timely and appropriate action
- Enforce the rules and policies
- Deal fairly with employees on disciplinary ethics issues
- Continue what you're doing!
- Hire and promote skilled individuals into management positions

Based on the responses to this year's quiz and survey, we concluded that:

- The high number of employees voluntarily taking part in the ethics quiz and survey indicate that employees have a continuing interest in workplace ethics.
- Employees have a solid, basic understanding of the King County Code of Ethics demonstrated by the high percentage of correct responses to questions.
- Employees generally seek out and trust their managers when asking about and reporting on ethics concerns in the workplace, and have a high regard for ethics in the workplace overall. The lower response rate about fear of retaliation indicates that this topic might be an area for further education and communication.
- When giving advice to managers on strengthening ethics in the workplace, employees stressed several themes: open communication and informational resources, education, strong leadership, and fair enforcement.

The 2006 Ethics Quiz and Survey, the report on results, and an executive summary, are available on the ethics web site and by contacting the ethics office.

**Training and Education Overview.** Over 2,140 employees, including board and commission members, received ethics training in 2006, with an emphasis placed on reaching new employees (63%) and supervisors, including directors and their deputies (8%). Other significant employee categories included general employees (15%), human resources specialists (7%), and contract managers (5%). By focusing primarily on new employees and supervisory staff, the board and director help to ensure that new employees have an awareness of the code before beginning work, and then know who to contact for ethical guidance during their tenure, and that supervisors have the skills to identify and resolve ethics-related issues affecting their agencies, and have the opportunity to develop ethical practices so they may lead others more effectively.

<b>Year</b>	<b>Presentations</b>	<b>Hours</b>	<b>Participants</b>
1994	29	68.00	680
1995	24	72.00	600
1996	32	91.00	750
1997	14	11.00	630
1998	20	21.00	1,318
1999	36	38.50	1,215
2000	32	46.25	917
2001	34	44.50	1,166
2002	43	37.75	1,043
2003	64	76.00	1,785
2004	94	47.75	1,505
2005	120	87.50	2,222
<b>2006</b>	<b>84</b>	<b>49.75</b>	<b>2,141</b>

## Goal I — Education and Training (continued)

The number of employees who received ethics training in 2006 remained approximately the same as in 2005, although the number of sessions decreased by 30% and the number of teaching hours decreased by 43%. This indicates that the executive director reached more students in fewer classes and in less time. (The high number of presentation and hours reflected in 2005 were due in part to twice-weekly new employee orientations which now are held once-a-week and in a larger conference room.)

**Ethics Partners.** With the support of the human resources division, the executive director developed a dynamic partnership between the ethics office and county departments to support ethical decision-making and actions by employees and elected officials. To fill this new role, the director identified human resources service delivery managers (SDM) already in place, and invited each SDM to take part as an Ethics Partner – an individual located in each department to act as a partner with ethics staff in ethics-related communications, issues, needs assessments, and services. These individuals also already demonstrate an understanding of and support for sound ethical values throughout King County.

**Classes.** Education and training for county employees is the first goal and priority of the Board of Ethics. To meet that goal, the executive director conducted weekly, mandatory orientations for new county employees through the Human Resources Management Division (HRMD). The orientations included an overview of the ethics code and an introduction to the ethics board and office. New employees received a Summary of the Code

of Ethics; an Ethics Help Line card, and a brochure on ethics-related interactions with vendors, contractors and customers. Employees are encouraged to contact the ethics board and office as a resource to help them make ethical decisions in the workplace.

The executive director also conducted in-depth, half-day ethics seminars for supervisors through the mandatory HRMD Supervisor Training Program. These courses included a comprehensive review of the code, an introduction to the ethics board and office, a description of a decision-making model, and an interactive group activity in which supervisors discussed, analyzed, and solved ethics-related dilemmas.

**Evaluations.** All students complete evaluations following each supervisor training course. Class participants were asked to rate the applicability of the knowledge and skills gained through the course to their current job, the quality of course content, and knowledge and ability of the instructor. In response to these questions, evaluators could choose from poor, fair, good, very good, and excellent. In addition, attendees were asked to rate their knowledge of county ethics requirements before and after the class on a scale of 1 to 5. Participants rated the ethics course as follows:

**Informal Presentation.** The executive director offered consultation and ethics education to departments by providing sessions tailored to the needs and schedules of the agency employees. These sessions included one-hour presentations during regularly scheduled staff meetings that focused on ethics-related issues specific to, or identified by, the group.

<b>Evaluation Question</b>	<b>Response %</b>	<b>Rating</b>
Applicability of knowledge to current job	<b>99%</b>	Good and above
Quality of course content	<b>99%</b>	Good and above
Knowledge and ability of instructor	<b>99%</b>	Good and above
Gained knowledge during course	<b>69%</b>	Minimum of 1 step gain



## Goal I — Education and Training (continued)

**Specialized Training.** Additional training sessions focused on groups with specialized functions. These included human resources personnel, contract managers, board and commission members, and staff liaisons and department coordinators with responsibilities related to the financial disclosure program.

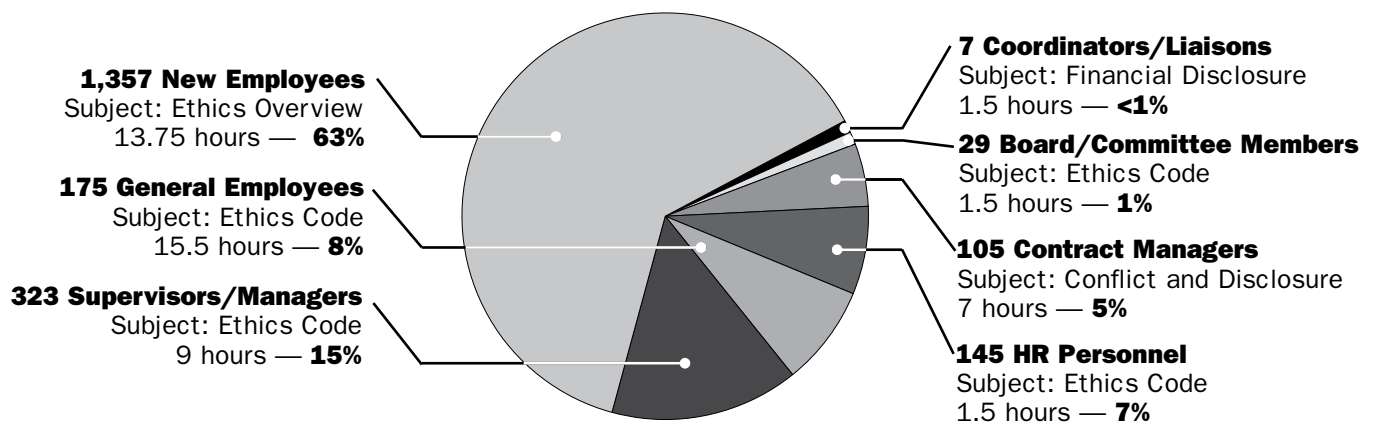
**Technology.** The ethics Web site, at [www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/), is available to any employee or citizen with Internet access, and continues to serve as an important resource for instant ethics-related information and education. Resources include the Code of Ethics and related summary in plain language; all advisory opinions issued by the board in their full text; all rules and procedures; disclosure programs and related requirements and forms; ethics publications and recent news; information on the board and its office; and the current and historical meeting schedules, agendas and minutes. Employee, board member, and consultant disclosure forms are also available on the Web site and may be filled out on-line.

**Publications and Awareness Materials.** The executive director published and distributed the following publications and awareness materials in 2006:

- **Summary of the Code of Ethics**—a summary of the ethics code in plain language with examples; required to be received by all new employees.
- **Ethics Help Line Card**—Helping Employees Make Ethical Decisions—a rolodex-sized card with contact phone number designed for employees who have questions about ethical ways to approach their county

work—distributed to all county employees.

- **You And King County: Doing Business with Contractors, Vendors, Clients, and Customers**—a brochure for those doing business or seeking to do business with the county, as well as county employees working with these client groups; highlights sections of the ethics code that affect these relationships—distributed to both employees and contractors, vendors, and customers.
- **Members of King County Boards, Commissions and Other Multi-Member Bodies**—a brochure for volunteer citizens, highlighting ethics code provisions that affect their services on county boards and commissions.
- **Advisory Opinion Subject Index and Summary Guide**—a complete set of summarized advisory opinions issued by the Board of Ethics, organized by subject and issue date—distributed in supervisor seminars and to county leadership and upon request.
- **2005 Annual Report**—distributed to County Council members, the executive and executive cabinet, department directors and managers, past ethics board members, and local, regional, and national ethics agencies.
- **Ethics Poster**—12" x 17" poster with peel-off Ethics Help Line card for display in areas wherever employees expect to find helpful county information—distributed throughout the county.
- **Post It-Note Pads**—3" x 4" post-it pads in the likeness of an Ethics Help Line cards for office use and to serve as a reminder of the ethics resources available to employees—distributed throughout the county.



## Goal II — Review of the Code of Ethics

**To continue a systematic review of the Code of Ethics and to make appropriate recommendations for consideration by the executive and county council.**

The board made no review of the ethics code in 2006.

## Goal III — Advice and Guidance

**To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.**

**Advisory Opinions.** The board issued no advisory opinions in 2006, but did address issues during board meetings brought by county employees under the provisions of the Code of Ethics.

In February, the board heard a report from Department of Natural Resources and Parks staff on policy related to employee-owned electric vehicles and its pilot program to allow employees to plug vehicles into county outlets at work. The board had previously advised the department to make the practice official county business if it wished to allow employees to use county outlets. Only one employee had taken advantage of the program thus far and the cost was approximately \$0.28 per charge, with a maximum of \$0.84 per week.

In May, the manager of the Prevention Division, Department of Public Health (PH), asked the Board of Ethics to clarify advisory opinion 1042 related to acceptance of honoraria. Specifically, he asked whether it would constitute a conflict of interest for a PH employee to: 1) accept an honorarium for making a presentation at a conference at which he is a representative of King County and attending on county time; 2) use the honorarium for a personal purpose; and 3) whether it would be acceptable for PH employees to accept honoraria as personal income if other circumstances surrounding the offer were essentially the same as the instant case. The request included information related to the collaborative relationship between the University of Washington and

the county; the employee in this case works as an adjunct professor at the UW as a continuation of his county work. The employee wished to use the honorarium for student supplies in a course he is teaching at the UW. The board determined that when a county employee is working as a representative of King County on county time, they may receive only their compensation, costs or fees as provided by law and must decline the honorarium for personal use. Further, that under the circumstances described in this request for clarification of opinion 1042, the employee may accept the honorarium on behalf of the county, for a county purpose, and with prior county approval, and must adhere to county law related to acceptance of gifts, bequests and donations under K.C.C. 2.80.

Finally, in November, a coordinator of the Community Organizing Program (COP) in the Department of Community and Human Services (DCHS), requested an advisory opinion from the Board of Ethics regarding potential conflict of interest for a COP employee wishing to engage in outside employment with the county's Department of Public Health.

In this case, the board decided to decline to issue an advisory opinion because relevant opinions existed; however, it did state that since King County seeks to ensure the public's trust in all its transactions and actions, the overlapping relationships between the official job responsibilities of the COP employee and her outside

## Goal III — Advice and Guidance (continued)

personal and financial interests would create a conflict of interest should she engage in outside employment with Public Health under the described circumstances.

**Appeals.** In September, a county employee asked the board to hear her appeal on a personnel matter and/or issue an advisory opinion on the same matter. The board declined to hear the appeal because the legal requirements under the Code of Ethics for appeal hearing had not been met, and because the board does not have jurisdiction to review personnel matters; further, the board declined to issue an advisory opinion since the matter was likely to be the subject of controversy or dispute, which is addressed in its Rules of Procedure for Appeal Hearings.

<b>Year</b>	<b>Ethics Advisory Opinions</b>	<b>Staff Informational Responses</b>
1991	30	*
1992	16	*
1993	26	*
1994	28	12
1995	25	15
1996	10	15
1997	8	42
1998	4	44
1999	1	21
2000	0	70
2001	0	77
2002	0	87
2003	0	69
2004	0	159
2005	1	135
2006	0	130
<b>TOTAL</b>	<b>149</b>	<b>876</b>

\* Not issued prior to 1994

**Staff Informational Responses.** During the year, the executive director issued 130 staff informational responses in which she provided a written response to employee inquiries on situations where the code and existing advisory opinions have already been applied to an analogous issue. Issues included, in order of numbers of requests: use of county resources; conducting solicitation or fundraising; acceptance of gifts, meals, or attendance at events; outside employment; post-employment; providing referrals or testimonials; and campaign activities. Because existing advisory opinions already provide guidance on ethical situations commonly faced by county employees, satisfactory responses to inquiries frequently do not require a new opinion. However, recipients of staff informational responses always have the option of requesting a formal advisory opinion from the board.

**Telephone inquiries.** Phone consultations help resolve ethics-related questions by providing employees and supervisors with the information they need to make common sense decisions. In addition to reviewing the situation and providing clarifying information, the executive director encouraged employees to talk the matter over with their supervisors to resolve the issue within the context of departmental policy. During the year, the director responded to over 780 telephone calls; this figure does not reflect outgoing calls placed by the ethics staff or e-mail messages. Categories of inquiry included, among others, 203 ethics-related questions from employees; 28 ethics-related questions referred to other agencies, 41 public inquiries, 57 questions on employee financial disclosure, 47 questions on the board and commission requirement for financial disclosure, and 43 inquiries on the requirement for consultant disclosure. Of the 203 ethics related inquiries, subject issues included, in order of numbers of requests, use of county resources; use of or conflict with official position; acceptance of gifts or things of value; outside employment; post-employment; and ethics issues related to board and commission membership.

## Goal IV — Disclosure Programs

**To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.**

**Employees and Elected Officials.** As of the April 15th deadline, 99.8% of the 2,432 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050. The director provided notices and regular reporting to the county executive, County Council, the ombudsman, and department directors as required by the King County Board of Ethics Rules Related to Filing Statements of Financial and Other Interests. In addition, the director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Department coordinators received orientations in January and the financial disclosure coordinator provided weekly communications on employee filing status during the program period.

**Board and Commission Members.** As of the April 15th deadline, 98.4% of the 432 county board and commission members had filed statements of financial and other interests as required under K.C.C. 3.04.050. As with employee statements, the executive director reviewed

each statement individually and is authorized to request additional or clarifying information before accepting the statement. Staff liaisons received orientations in January and the financial disclosure coordinator provided weekly communications on employee filing status during the program period.

**Consultant Disclosure.** Under K.C.C. 3.04.120, each consultant entering into a contract to provide professional or technical services to the county costing over \$2,500 must file a sworn, written statement disclosing information related to potential conflicts of interest. The ethics office received and reviewed approximately 252 consultant disclosure forms in 2006 (2006 forms continue to be filed in early 2007). All forms are individually reviewed and the executive director may request additional or clarifying information before accepting the form. No payment may be made on any affected contract until five days after receipt by the ethics office of the completed form.

<b>Year</b>	<b>Board Members and Commissioners (# and % compliance)</b>	<b>Employees and Elected Officials (# and % compliance)</b>	<b>Consultant Disclosure Statements (# of filings)</b>
1994	438 (% unknown)	2000 (estimate) (% unknown)	79
1995	498 (% unknown)	2000 (estimate) (% unknown)	89
1996	565 (% unknown)	2000 (estimate) (% unknown)	72
1997	612 (70%)	1,643 (79%)	33
1998	528 (89%)	1,671 (97%)	223
1999	445 (90% by 9/30)	1,857 (99.5% by 9/30)	263
2000	432 (100% by 8/14)	1,928 (100% by 8/14)	281
2001	464 (100% by 6/6)	1,927 (100% by 6/6)	300
2002	436 (92% by 5/14)	1,969 (100% by 5/14)	251
2003	448 (99% by 4/15)	2,119 (99% by 4/15)	299
2004	461 (97% by 4/15)	2,302 (99% by 4/15)	301
2005	432 (96.85 by 4/15)	2,411 (99.7% by 4/15)	300
<b>2005</b>	<b>432 (96.8% by 4/15)</b>	<b>2,432 (99.8% by 4/15)</b>	<b>252</b>

## **Goal V — Collaboration with Other Ethics Agencies**

**To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program.**

In June, the ethics board and staff co-hosted the 2006 Washington State Ethics Conference along with five other ethics jurisdictions, including the State Executive Ethics Board, the Public Disclosure Commission, Seattle Ethics and Elections Commission, Commission on Judicial Conduct, and the Legislative Ethics Board; the director was a conference facilitator and panelist. In December, the King County Board of Ethics and the City of Seattle's Ethics and Elections Commission continued

their collaborative relationship by holding a signing ceremony celebrating and commemorating the Bi-Lateral Statement of Principles. (See details on page 7.) In addition, the Board of Ethics maintained its membership in the international Council on Governmental Ethics Laws (COGEL); the executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.

